

LINKAGES SELF-ASSESSMENT MONITORING TOOL

Date: _____

Site: _____

On-Site monitoring review date: _____

CDA/AAA Monitor: _____

Self-Assessment performed by: _____

Title: _____

This Self-Assessment form must be completed and returned to the AAA or CDA by the Linkages site no less than two weeks prior to the scheduled monitoring visit. For questions requiring written responses, please answer in the space provided or on a separate piece of paper, and attach it to the self-assessment form. Please leave 'AAA/CDA Comments' blank. The monitoring team, at its discretion, may perform a more detailed evaluation of any or all of the information provided on the Self-Assessment form during the monitoring visit. (Note: Double-Click on Check box to answer.)

Reference		Linkages Site Comments	AAA/CDA Comments
CDA Standard Agreement, Linkages Program Exhibit	A. POLICIES AND PROCEDURES		
	1. Is Linkages Program Manual available and up-to-date? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	2. Is a resource directory and/or file available and updated? Yes <input type="checkbox"/> No <input type="checkbox"/>		
Linkages Manual, Section 3	B. STAFFING		
	1. Please attach a Linkages Program organization chart reflective of current staffing and percentage of time of each position allocated to Linkages.		
	2. Are duty statements for all positions current and consistent with Linkages Program Manual requirements? Yes <input type="checkbox"/> No <input type="checkbox"/>		

Reference		Linkages Site Comments	AAA/CDA Comments
	3. Are resumes that demonstrate compliance with required education and experience on file for each employee? Yes <input type="checkbox"/> No <input type="checkbox"/> If not, is an approved Linkages Program Flexibility Request on file? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	4. Describe any changes in staff in the last year. Comment on the reason and the positive or negative impact of this turnover on the program		
Linkages Manual, Section 5	C. CARE MANAGEMENT PROCESS		
	1. Submit a map of service area if there have been any changes in the service area since the last monitoring.		
	2. Describe the process for client outreach. <ul style="list-style-type: none"> How do you target underserved populations? 		

Reference		Linkages Site Comments	AAA/CDA Comments
	3. Describe the process used for intake, screening, and enrollment of program applicants, including process to refer ineligible applicants to other available resources.		
	4. Describe the client assessment/reassessment process.		
Linkages Manual, Section 6	5. How often are care-planning meetings held and who attends? <ul style="list-style-type: none"> Describe the care planning process. 		

Reference		Linkages Site Comments	AAA/CDA Comments
	6. Describe the process for ensuring timely and appropriate interventions and outcomes of issues identified in the care plan.		
Linkages Manual Sections 3, 4, 6, 11 and current CDA Standard Agreement, Linkages Program Exhibit	D. CASELOAD		
	1. How many individuals are on your current waiting list? <ul style="list-style-type: none"> • Is your waiting list: Open <input type="checkbox"/> Closed <input type="checkbox"/>? • Do you pre-screen individuals for Linkages eligibility prior to placing them on the waiting list? Yes <input type="checkbox"/> No <input type="checkbox"/> • How do you monitor your waiting list? 		
	2. What is the current caseload ratio?		

Reference		Linkages Site Comments	AAA/CDA Comments
	3. List by month your caseload count for the last 12 months.		
	4. Has the active client caseload count been below the 20% allowance for 2 consecutive months? Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, has a Linkages Corrective Action Plan been submitted and approved by AAA/CDA? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	5. Describe your caseload mix of functionally impaired adults and frail elderly, Medi-Cal and non Medi-Cal eligible clients.		

Reference		Linkages Site Comments	AAA/CDA Comments
Linkage Manual, Section 6	E. Service Arrangement		
	1. What is your process for ensuring that informal and formal services are utilized prior to purchasing services?		
	2. Describe the process used for tracking arranged and purchased services.		
	3. What is your process for ensuring that all of your purchased and arranged services are documented on the care plan?		

Reference		Linkages Site Comments	AAA/CDA Comments
Linkages Manual, Section 7	F. VENDOR AGREEMENTS		
	1. Describe the procedures for the procurement and updating of vendor services.		
	2. Is there a master list of agreements/services available? Yes <input type="checkbox"/> No <input type="checkbox"/>		

Reference		Linkages Site Comments	AAA/CDA Comments
	3. Are CDA/AAA referenced (e.g., hold harmless clause) in the vendor contracts? Yes <input type="checkbox"/> No <input type="checkbox"/>		
Linkages Manual, Section 8	G. CLIENT TERMINATION		
	1. Describe your termination process. <ul style="list-style-type: none"> • Attach a sample of your written Notice of Action letter. 		

Reference		Linkages Site Comments	AAA/CDA Comments
	2. Is the cause for termination discussed with the client prior to termination? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	3. Is information on alternate services provided to the client? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	4. Is the process for re-enrollment into the Linkages Program discussed with the client? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	H. GRIEVANCE PROCEDURES		
Linkage Manual, Section 8	1. Attach a copy of your written grievance process.		
Linkages Manual, Section 8	I. CONFIDENTIALITY		
	1. Are all client records kept in locked files? Yes <input type="checkbox"/> No <input type="checkbox"/>		

Reference		Linkages Site Comments	AAA/CDA Comments
	1. What procedures are in place to ensure confidentiality of all data (both electronic and hard copy)? Comments:		
	3. Describe your activities related to Health Insurance Portability and Privacy Act (HIPPA) compliance. (If applicable)		
Linkages Manual, Section 12	J. TRAINING AND EDUCATION		
	1. Please describe the Linkages Program training program, including but not limited to the following areas: <ul style="list-style-type: none"> • New employee orientation • Ongoing staff development • Eligibility for referred services programs, such as Medi-Cal with a share of cost and IHSS • Reporting and documentation procedures for unsafe conditions in client's home • CDA sponsored training • Basic chart documentation • Stress management 		

Reference		Linkages Site Comments	AAA/CDA Comments
Linkages Manual, Section 13	K. SITE FACILITY		
	1. Is staff available 5 days per week? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	2. Is an answering machine/voice mail used for after hours? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	3. Is the site accessible to the public and in compliance with the Americans with Disabilities Act of 1990? Yes <input type="checkbox"/> No <input type="checkbox"/>		
Linkages Manual, Section 14	L. MANAGEMENT INFORMATION SYSTEM		
	1. What is your process for collecting, tracking, and reporting required Linkages program data? (Electronic or paper)		
	2. Is the Linkages program utilizing a reporting system that is able to provide data consistent with the requirements of the AAA/CDA? Yes <input type="checkbox"/> No <input type="checkbox"/> What system is used?		

Reference		Linkages Site Comments	AAA/CDA Comments
	3. Is there an established process for handling incomplete forms or the detection of errors? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	4. Is data submitted in a timely and accurate manner per the AAA/CDA contract? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	5. Are back-up data files retained at the site for the current fiscal year and the three prior fiscal years? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	6. How do your Performance Estimates (from the Community-Based Services Program budget page 5) compare with your performance actuals for the last fiscal year?		
Linkages Manual, Section 15	M. FISCAL ACCOUNTABILITY		
	1. What is your process for tracking and adjusting Linkages expenditure levels?		
	2. What is your current expenditure level: <input type="checkbox"/> Under expended <input type="checkbox"/> Over expended If either under expended or over expended, what is your plan to correct the problem?		

Reference		Linkages Site Comments	AAA/CDA Comments
	3. Is there a fiscal management manual that provides written documentation relating to the fiscal policies and procedures of the agency, with specifics for Linkages fiscal procedures? Comments:		
	4. Is there an established process for collection of client contributions? (Required for Targeted Case Management) Yes <input type="checkbox"/> No <input type="checkbox"/>		
Linkages Manual, Section 7	N. Linkages Purchase of Service (LPOS)		
	1. What is the amount of your current annual LPOS budget? <ul style="list-style-type: none"> Are all funds from Linkages funding? If not, please state source(s). 		
	2. How do you track and monitor POS funds?		

Reference		Linkages Site Comments	AAA/CDA Comments
	3. How are the care managers informed of the on-going status of the available LPOS funding?		
Current CDA Standard Agreement, Article VII Linkages Manual Section 7.C.	O. PROPERTY/INVENTORY CONTROL		
	1. Is there a system in place to track the dispersal of purchased client equipment? If so, please describe. Comments:		

Reference		Linkages Site Comments	AAA/CDA Comments
	2. Is client equipment reissued if it is safe to do so? Comments:		
Linkages Manual Section 7.G.	P. Respite Purchase of Service (RPOS)		
	1. Is RPOS limited to \$450 per client per fiscal year? Yes <input type="checkbox"/> No <input type="checkbox"/> If not, is written approval of the supervisor on file? Yes <input type="checkbox"/> No <input type="checkbox"/>		
	2. Is RPOS client information maintained at the Linkages site? Yes <input type="checkbox"/> No <input type="checkbox"/> If no, explain.		
	3. Describe your RPOS program data and fiscal tracking reporting processes.		
	4. Describe your process for publicizing the availability of RPOS for non-Linkages caregivers.		